



6-3-02
#3151

TRANSMITTAL LETTER			Case No. 10790/4
Serial No. 09/896,760	Filing Date June 29, 2001	Examiner Unknown	Group Art Unit 2161
Inventor(s) C. Conklin et al.			
Title of Invention Method And System For Enhanced Distribution Of Financial Instruments			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Transmittal Letter (in duplicate); Information Disclosure Statement; PTO Form 1449; One Copy of References A1-A6.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a _____ month extension of time.
- ☐ No additional fee is required.
- ☐ The fee has been calculated as shown below:

RECEIVED MAY 31 2002
MAY 20 2002

Technology Center 2100

Small Entity or Other Than Small Entity

	Claims Remaining After Amendment	Highest No. Previously Paid For	Present Extra
Total	Minus		
Indep.	Minus		
First Presentation of Multiple Dep. Claim			

Rate	Add'l Fee
x \$9=	
x \$42=	
+ \$140=	
Total add'l fee	\$

Rate	Add'l Fee
x \$18=	
x \$84=	
+ \$280=	
Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$_____. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☐ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Kent E. Genin
Registration No. 37,834
Attorney for Applicant

BRINKS HOFER GILSON & LIONE
P.O. BOX 10395
CHICAGO, ILLINOIS 60610
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on May 9, 2002.

Date:

5/9/2002
rev. Dec.-00
Document 4

Signature:

RECEIVED

MAY 23 2002

GROUP 3600



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on May 9, 2002.

Kent E. Genin

Name of Applicant, Assignee or
Registered Representative


Signature5/9/2002

Date of Signature

PATENT
CASE NO. 10790/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)

C. Conklin et al.)

Serial No. 09/896,760)

Filed: June 29, 2001)

For: METHOD AND SYSTEM FOR
ENHANCED DISTRIBUTION OF
FINANCIAL INSTRUMENTS)

Group Art Unit: 2161

RECEIVED

MAY 20 2002

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to the obligation under 37 C.F.R. § 1.56 and in conformance with 37 C.F.R. § 1.97-1.99, Applicant hereby submits the following references for consideration by the Examiner. Copies of each have been enclosed along with the form PTO-1449.

05/16/2002 BHGUYEN1 00000022 231925 09896760

01 FC:126

180.00 CH

RECEIVED

MAY 23 2002

GROUP 3600

U.S. PATENTS

<u>Patent No.</u>	<u>Issue Date</u>	<u>Inventor</u>
5,742,775	04/21/98	King
5,774,879	06/30/98	Custy et al.
5,878,403	03/02/99	DeFrancesco et al.
6,021,397	02/01/00	Jones et al.
6,064,971	05/16/00	Hartnett

OTHER ART

Copy of International Search Report for PCT Application No. PCT/US01/50858
dated April 12, 2002

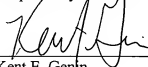
EXPLANATION OF THE REFERENCES

As of the day of filing of this information disclosure statement, a first office action on the merits has not been received by the undersigned. Accordingly, no fee for consideration of the information provided with this disclosure statement is included herewith, as permitted by 37 C.F.R. § 1.97(b)(3). However, if an office action on the merits is mailed on a date prior hereto, Applicant hereby requests and authorizes the Commissioner to charge Deposit Account 23-1925 for the appropriate fee of \$180 as set forth in 37 C.F.R. § 1.97(c) for consideration of the information set forth in this disclosure statement.

Applicant requests to have these references included in the record of this application. Applicant further requests that the Examiner review the entire disclosure of each reference. Applicant does not represent any of these references to be prior art and Applicant reserves the right to disqualify any references by the showing of an earlier date of invention, if appropriate.

BRINKS HOFER GILSON & LIONE
P.O. Box 10395
Chicago, IL 60610
(312) 321-7732

Respectfully Submitted,



Kent E. Gentin
Reg. No. 37,834
Attorney for Applicant



FORM PTO-1449	SERIAL NO. 09/896,760	CASE NO. 10790/4
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE June 29, 2001	GROUP ART UNIT 2161
(use several sheets if necessary)	APPLICANT(S): C. Conklin et al.	

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	5,742,775	04/21/98	King		
	A2	5,774,879	06/30/98	Custy et al.		
	A3	5,878,403	03/02/99	DeFrancesco et al.		
	A4	6,021,397	02/01/00	Jones et al.		
	A5	6,064,971	05/16/00	Hartnett		

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A6	Copy of International Search Report for PCT Application No. PCT/US01/50858 dated April 12, 2002.

RECEIVED
MAY 20 2002
Technology Center 2100

RECEIVED

MAY 23 2002

GROUP 3600

EXAMINER /Frantzy Poinvil/	DATE CONSIDERED 04/14/2008
-------------------------------	-------------------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.